

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Karlheinz Haubennestel et al.

Title: POLYMERIC UREA-URETHANE RHEOLOGY CONTROL AGENTS AND A PROCESS FOR THEIR PREPARATION

Docket No.: 1238.014US1

Filed: September 9, 2003

Examiner: Unknown

Serial No.: 10/659,588

Due Date: N/A

Group Art Unit: 1711

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450



We are transmitting herewith the following attached items (as indicated with an "X"):

☒ A return postcard.

☒ An Information Disclosure Statement (2 pgs.), Form 1449 (1 pg.), and copies of 8 cited documents.

If not provided for in a separate paper filed herewith, Please consider this a PETITION FOR EXTENSION OF TIME for sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

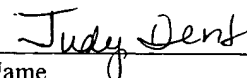
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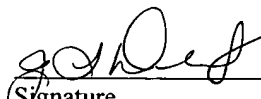
By: 

Atty: William F. Prout

Reg. No. 33,995

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 23 day of March, 2004.

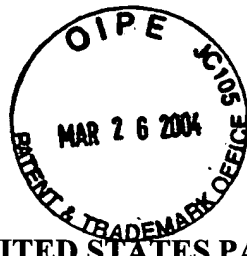
  
Name

  
Signature

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

(GENERAL)

S/N 10/659,588



PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:	Karlheinz Haubennestel et al.	Examiner:	Unknown
Serial No.:	10/659,588	Group Art Unit:	1711
Filed:	September 09, 2003	Docket:	1238.014US1
Title:	POLYMERIC UREA-URETHANE RHEOLOGY CONTROL AGENTS AND A PROCESS FOR THEIR PREPARATION		

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicants respectfully request that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicants request that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicants with the next official communication.

Pursuant to 37 C.F.R. §1.97(c)(1) and 37 C.F.R. §1.97(e)(1), Applicants state that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

It is believed that no fee or statement is required with the Information Disclosure Statement. However, if a final action under §1.113, a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application has been mailed, the Commissioner is hereby authorized to charge the required fees to Deposit Account No. 19-0743 in order to have this Information Disclosure Statement considered.

**INFORMATION DISCLOSURE STATEMENT**

Serial No : 10/659588

Filing Date: September 09, 2003

Title: POLYMERIC UREA-URETHANE RHEOLOGY CONTROL AGENTS AND A PROCESS FOR THEIR PREPARATION

**Page 2**

Dkt: 1238.014US1

The present application is either a U.S. national patent application filed after June 30, 2003 or an international application that entered the national stage under 35 U.S.C. § 371 after June 30, 2003. Thus, Applicant believes that the U.S. Patent & Trademark Office has waived the requirement under 37 C.F.R. 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication. The waiver is provided in a pre-OG notice from the U.S. Patent & Trademark Office entitled "Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications filed after June 30, 2003" and dated July 11, 2003. Applicant acknowledges the requirement to submit copies of foreign patent documents and non-patent literature in accordance with 37 C.F.R. 1.98(a)(2).

The Examiner is invited to contact the Applicants' Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

KARLHEINZ HAUBENNESTEL ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
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Date March 20, 2004

By William F. Prout  
William F. Prout  
Reg. No. 33,995

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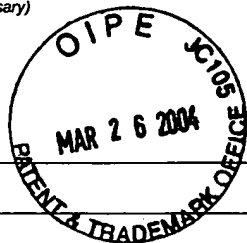
Judy Dent  
Name

Judy Dent  
Signature

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



Complete if Known

Application Number	10/659588
Filing Date	September 9, 2003
First Named Inventor	Haubennestel, Karlheinz
Group Art Unit	1711
Examiner Name	Unknown

Sheet 1 of 1

Attorney Docket No: 1238.014US1

**US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
	US-4,882,408	11/21/1989	Blum, Rainer	528	49	07/11/1988
	US-6,420,466B1	07/16/2002	Haubennestel et al.	524	195	05/25/2000

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
	EP-0007594	02/06/1980	Falkenstein et al.	C08G	18/08	
	GB-1408165	10/01/1975	Witco Chemical Corporation	C09D	3/72	
	EP-1188779	03/20/2002	Haubennestel et al.	C08G	18/28	
	IB-0049063	08/24/2000	Green, Robin	C08G	8/10	

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		FRISCH, KURT C., "Fundamental Chemistry and Catalysis of Polyurethanes," 36 pages	
		PCT Search Report, 1-13-04	

**EXAMINER****DATE CONSIDERED**

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached